

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant: Smith et al. ) Attorney reference: 25016-49  
)  
Serial No.: 09/653,788 ) Examiner: Unknown  
)  
Filing Date: 09/01/2000 ) Group Art Unit: 2631  
)  
Title: IMPROVED DIGITAL-DATA )  
RECEIVER SYNCHRONIZATION )  
METHOD AND APPARATUS )

**INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. § 1.97(b)**

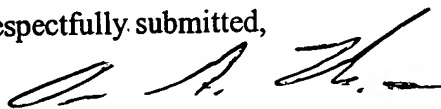
Assistant Commissioner for Patents  
Washington, DC 20231

Dear Sir:

Enclosed is an Information Disclosure Citation Form PTO-1449 and a copy of the references cited thereon. Applicant is filing this IDS prior to the mailing date of a first Office action. According to 37 C.F.R. § 1.97(b), no fee is due.

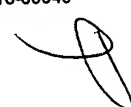
Please charge any underpayment or credit any overpayment under 37 C.F.R. § 1.17 associated with this paper to Deposit Account Number [REDACTED]

Respectfully submitted,



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31 January 2002



| <p align="center"><b>INFORMATION DISCLOSURE CITATION<br/>IN AN APPLICATION</b></p> <p><b>Title: IMPROVED DIGITAL-DATA RECEIVER SYNCHRONIZATION<br/>METHOD AND APPARATUS</b></p> |                 |            |                       |         |               | <p><b>Attorney<br/>Docket No.</b></p> <p>25016-49</p> |
|---|-----------------|------------|-----------------------|---------|---------------|---|
| <b>U.S. PATENT DOCUMENTS</b>  |                 |            |                       |         |               |   |
| Examiner<br>Initials  | Document Number | Date       | Name                  | Class   | Sub-<br>Class | Filing Date<br>If Appropriate                         |
|   | 4,091,331       | 05/23/1978 | Kaser et al.          |         |               |   |
|   | 5,251,237       | 10/05/1993 | Baier                 |         |               |   |
|   | 5,367,536       | 11/22/1994 | Tsujimoto             |         |               |   |
|   | 5,838,741       | 11/17/1998 | Callaway, Jr., et al. |         |               |   |
|   | 5,832,045       | 11/03/1998 | Barber                |         |               |   |
|   | 5,825,805       | 10/20/1998 | Kato                  |         |               |   |
|   | 5,493,583       | 02/20/1996 | Cripps                |         |               |   |
|   | 3,633,115       | 01/04/1972 | Epstein               |         |               |   |
|   | 4,780,891       | 10/25/1988 | Guerin et al.         |         |               |   |
|   | 3,491,338       | 01/20/1970 | Malloy                |         |               |   |
|   | 5,519,444       | 05/21/1996 | Ko et al.             |         |               |   |
| <b>FOREIGN PATENT DOCUMENTS</b>   |                 |            |                       |         |               |   |
| Examiner<br>Initials  | Document Number | Date       | Name                  | Country | Sub-<br>Class | Translation   |
|   |                 |            |                       |         |               |   |
|   |                 |            |                       |         |               |   |
|   |                 |            |                       |         |               |   |
|   |                 |            |                       |         |               |   |
|   |                 |            |                       |         |               |   |
| <b>OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)</b>   |                 |            |                       |         |               |   |
|   |                 |            |                       |         |               |   |
|   |                 |            |                       |         |               |   |
|   |                 |            |                       |         |               |   |
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|   |                 |            |                       |         |               |   |
|   |                 |            |                       |         |               |   |
| Examiner's Signature:   |                 |            |                       | Dated:  |               |   |

Copy of all cited references are enclosed.

NPGVL1:133845.1-FO-(G7) 025016-00049

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant: Stephen F. Smith and Gary W. Turner  
Application No.: 09/653788  
Group Art No.: 2631  
Filing Date: September 1, 2000  
Examiner: Unknown  
Title: **IMPROVED DIGITAL-DATA RECEIVER  
SYNCHRONIZATION METHOD AND  
APPARATUS**

Commissioner  
for Patents  
Washington, D.C. 20231

**Certificate of Mailing Under 37 C.F.R. 1.8**

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Katherin Cope

**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**

Dear Sir:

Applicant respectfully requests, pursuant to 37 C.F.R. §§ 1.56, 1.97 and 1.98, that the art listed on the attached PTO-1449 form be considered and cited in the examination of the above-identified application. A copy of the art is enclosed for the convenience of the Examiner. Furthermore, pursuant to 37 C.F.R. §§ 1.97(g) and (h), no representation is made that a search has been made or that this art is material to the patentability of the present application.

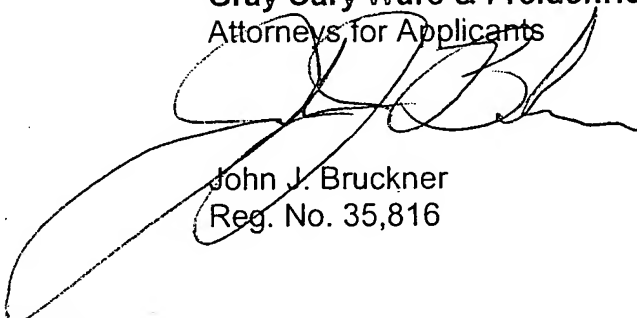
Furthermore, each item of information contained in the Supplemental Information Disclosure Statement was first cited in a communication from a foreign patent office in corresponding Patent Cooperation Treaty Application No. PCT/US01/27188 on March 21, 2002, and, to the knowledge of the person signing the statement after making

reasonable inquiry, no item of information contained in this Supplemental Information Disclosure Statement was known to any individual designated in §1.56(c) more than three months prior to the filing of this Supplemental Information Disclosure Statement.

If any fees are inadvertently omitted, or if any additional fees are required, or if any amounts have been overpaid, please appropriately charge or credit those fees to Deposit Account No. 50-0456 of Gray Cary Ware & Freidenrich, LLP.

Respectfully submitted,

**Gray Cary Ware & Freidenrich LLP**  
Attorneys for Applicants



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Dated: June 21, 2002

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|--|-------------|---|-------------------------|-----------------------------------|--|--|--|
| <b>FORM PTO 1449 US Department of<br/>Commerce<br/>Patent and Trademark Office</b> |             |   |                         | Application Number                |  | 09/653788  |  |
|  |             |   |                         | Filing Date                       |  | September 1, 2000                                  |  |
|  |             |   |                         | First Named Inventor              |  | Smith, et al.                                      |  |
|  |             |   |                         | Group Art Unit                    |  | 2631   |  |
|  |             |   |                         | Examiner Name                     |  | Unknown  |  |
| Sheet  | 1           | of  | 1                       | Attorney Docket Number            |  | UBAT1440   |  |
| <b>U.S. PATENT DOCUMENTS</b>   |             |   |                         |                                   |  |  |  |
| Examiner<br>Initials   | Cite<br>No. | Document Number   |                         | Publication<br>Date<br>MM-DD-YYYY | Name of Patentee or Applicant<br>of Cited Document |  |  |
|  |             | Number  | Kind Code (if<br>known) |                                   |  |  |  |
|  | A1          | 4234852   | --                      | 11/18/80                          | McCorkle   |  |  |
|  | A2          | 3873931   | --                      | 03/25/75                          | Basse et al.                                       |  |  |
|  | A3          |   |                         |                                   |  |  |  |
|  | A4          |   |                         |                                   |  |  |  |
|  | A5          |   |                         |                                   |  |  |  |
|  | A6          |   |                         |                                   |  |  |  |
|  | A7          |   |                         |                                   |  |  |  |
|  | A8          |   |                         |                                   |  |  |  |
| <b>FOREIGN PATENT DOCUMENT</b>   |             |   |                         |                                   |  |  |  |
| Examiner<br>Initials   | Cite<br>No. | Country Code  | Number                  | Kind Code (if<br>known)           | Publication<br>Date<br>MM-DD-YYYY<br>(Number 43)   | Name of Patentee or Applicant<br>of Cited Document |  |
|  | B1          | DE  | 295 12 779 U1           |                                   | 11/09/95   | Siemens AG   |  |
|  | B2          |   |                         |                                   |  |  |  |
|  | B3          |   |                         |                                   |  |  |  |
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|  | B9          |   |                         |                                   |  |  |  |
|  | B10         |   |                         |                                   |  |  |  |
| <b>OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS</b>                          |             |   |                         |                                   |  |  |  |
| Examiner<br>Initials   | Cite<br>No. | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. |                         |                                   |  | Date   |  |
|  | C1          | International Search Report re PCT/US01/27188   |                         |                                   |  | 03/21/02   |  |
|  | C2          |   |                         |                                   |  |  |  |
|  | C3          |   |                         |                                   |  |  |  |
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|  | C9          |   |                         |                                   |  |  |  |
|  | C10         |   |                         |                                   |  |  |  |
|  | C11         |   |                         |                                   |  |  |  |
| Examiner<br>Signature  |             |   |                         |                                   | Date<br>Considered                                 |  |  |

ATTORNEY'S DOCKET  
UBAT1440

09/653788  
Customer ID: 25094

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant: Smith, et al.  
Application No.: 09/653788  
Group Art No.: 2631  
Filing Date: September 1, 2000  
Examiner: Unknown  
Title: **Digital-Data Receiver Synchronization  
Method and Apparatus**  
Commissioner  
for Patents  
Washington, D.C. 20231

**Certificate of Mailing Under 37 C.F.R. 1.8**

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*Janice Pampell*  
Janice Pampell

**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**

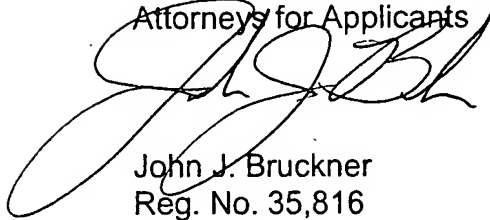
Dear Sir:

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Applicants do not believe that a fee is due at this time, however, if any fees be due for this Supplemental Information Disclosure Statement, please appropriately charge those fees to Deposit Account No. 50-0456 of Gray Cary Ware & Freidenrich, LLP.

Respectfully submitted,

**Gray Cary Ware & Freidenrich LLP**  
Attorneys for Applicants



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Dated: Aug 14, '02

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|--|-------------|---|-------------------------|-------------------------|---|---|--|
| FORM PTO 1449 US Department of<br>Commerc<br>Patent and Trademark Office |             |   |                         | Application Number      |   | 09/653788   |  |
|  |             |   |                         | Filing Date             |   | September 1, 2000                                     |  |
|  |             |   |                         | First Named Inventor    |   | Smith et al.  |  |
|  |             |   |                         | Group Art Unit          |   | 2631  |  |
|  |             |   |                         | Examiner Name           |   | Unknown   |  |
| Sheet  | 1           | of  | 1                       | Attorney Docket Number  |   | UBAT1440  |  |
| <b>U.S. PATENT DOCUMENTS</b>   |             |   |                         |                         |   |   |  |
| Examiner<br>Initials   | Cite<br>No. | Document Number   |                         |                         | Publication Date<br>MM-DD-YYYY                | Name of Patentee or<br>Applicant of Cited<br>Document |  |
|  |             | Number  | Kind Code (if<br>known) |                         |   |   |  |
|  | A1          | 4234852   | --                      |                         | 11/18/80                                      | McCorkle  |  |
|  | A2          | 3873931   | --                      |                         | 03/25/75                                      | Basse et al.  |  |
|  | A3          |   |                         |                         |   |   |  |
|  | A4          |   |                         |                         |   |   |  |
|  | A5          |   |                         |                         |   |   |  |
|  | A6          |   |                         |                         |   |   |  |
|  | A7          |   |                         |                         |   |   |  |
|  | A8          |   |                         |                         |   |   |  |
|  | A9          |   |                         |                         |   |   |  |
|  | A10         |   |                         |                         |   |   |  |
|  | A11         |   |                         |                         |   |   |  |
| <b>FOREIGN PATENT DOCUMENT</b>   |             |   |                         |                         |   |   |  |
| Examiner<br>Initials   | Cite<br>No. | Country Code  | Number                  | Kind Code (if<br>known) | Publication Date<br>MM-DD-YYYY<br>(Number 43) | Name of Patentee or<br>Applicant of Cited<br>Document |  |
|  | B1          | PCT   | WO 02/19550             | A2                      | 03/07/02                                      | UT-Battelle, LLC                                      |  |
|  | B2          | DE  | 29512779                | U1                      | 28/09/95                                      | Siemens AG  |  |
|  | B3          |   |                         |                         |   |   |  |
|  | B4          |   |                         |                         |   |   |  |
|  | B5          |   |                         |                         |   |   |  |
| yy   | B6          |   |                         |                         |   |   |  |
|  | B7          |   |                         |                         |   |   |  |
|  | B8          |   |                         |                         |   |   |  |
| <b>OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS</b>                |             |   |                         |                         |   |   |  |
| Examiner<br>Initials   | Cite<br>No. | Include name of the author, title, source, volume, and page(s). |                         |                         |   | Date  |  |
|  | C1          | International Search Report for PCT/US01/27188                  |                         |                         |   | 03/21/02  |  |
|  | C2          |   |                         |                         |   |   |  |
|  | C3          |   |                         |                         |   |   |  |
|  | C4          |   |                         |                         |   |   |  |
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|  | C11         |   |                         |                         |   |   |  |
|  | C12         |   |                         |                         |   |   |  |
| Examiner<br>Signature  |             |   |                         |                         | Date Considered                               |   |  |